

ANNUAL PROGRAM STATEMENT 605100.05.02.13.913

Sri Lanka Support for Professional and Institutional Capacity Enhancement (SPICE) Program:

Integrating Communities Through Regional Grants for Active Citizenship, Social Cohesion and Gender Empowerment

USAID Subaward under AID-383-LA-13-00001; MSI Project #605100.05

APS issuance/closing date: 22nd October 2013 / 20th October 2014

Submission deadline: Management Systems International (MSI) will initially accept concept papers on a **rolling basis until 20th October 2014 by 5:00 p.m. local Sri Lankan time**. Subject to the availability of funds, this deadline may be extended to a later date to be determined and advertised by amendment to this APS. Applications will be reviewed on a rolling basis as they are received, on a first-come, first-serve basis. Should funds allocated to this APS be obligated prior to the submission deadline, MSI may close the APS early and inform potential applicants through a public notice.

Submission of questions: Questions on this APS should be addressed to spiceaps@msi-sl.com and will be reviewed and answered on a rolling basis. The deadline for receipt of questions is **5th October 2014 by 5:00 p.m. local Sri Lankan time**. Phone calls regarding technical content will not be entertained. Questions and answers will be posted at:
<https://www.dropbox.com/sh/jdp5kdpe70rqd5n/8QQvFwD7JG>

Point of contact: Applications must be submitted to MSI that is managing USAID funded grants under this SPICE program, via email attachments (in Microsoft Word and/or Excel documents) to: **spiceaps@msi-sl.com**.

Grant amount estimation: Between US \$20,000 and \$75,000 per grant award. Organizations must be able to show a recent history of implementing a minimum of one grant equal to a value of at least 75% of the amount they request from this APS. Grants will be for up to eighteen months in duration. The end date of proposed projects must not exceed September 15, 2015.

Subject: This APS aims to empower individuals and communities and contribute to the overall strength and productivity of the conflict affected regions by integrating the regions' communities into their local social, economic, cultural and governance systems.

Geographic focus: The APS solicits applications for interventions that will be implemented in districts in Northern or Eastern Province. Interventions in the districts neighboring North and East in Wayamba (Puttlam), North-Central (Anuradhapura and Polonnaruwa) and Uva (Moneragala) will also be considered.

Organizations eligible to participate: Organizations should have a recent history of implementing activities in the regional focus areas of the APS or have a recent track record of implementing projects in those geographic areas and be responsible non-partisan Sri Lankan civil society organizations (CSOs), independent trade unions, professional associations, community-based organizations (CBOs) and Cooperatives with experience in advocacy and civic engagement/organizing. Individuals and government entities are not eligible to apply under this APS.

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1. PROJECT BACKGROUND AND SCOPE OF WORK

USAID is funding the SPICE project through Counterpart International. In Sri Lanka the SPICE Project is managed by Management Systems International. The SPICE program runs from December 20, 2012 to December 19, 2015.

1.1 Overview of SPICE

The purpose of the SPICE program is to encourage institutions, programs and advocacy strategies that promote citizen and community engagement and inclusive and pluralistic values. SPICE will focus on supporting targeted national and regional civil society organizations and local institutions to implement activities that seek to improve governance, promote co-existence and inclusion, support the exercise of citizen rights, and increase active and informed citizen participation. Special consideration will be given to proposals that:

- 1. Address gender-based violence (GBV), gender equity and challenges faced by female-headed households in conflict-affected areas; and
- 2. Support youth engagement, leadership and inclusion

1.2 APS Objectives

Some communities and segments of the populations in Northern and Eastern provinces as well as in conflict-affected border areas of neighboring provinces continue to require assistance to restore community life and social cohesion and interactions, augment opportunities to engage in development, and integrate fully into regional and national life.

This APS will support the integration and participation of these communities into civil life. By helping these groups integrate into their local social, economic, cultural and governance systems, this APS aims to empower individuals and communities and contribute to the overall strength and productivity of these regions. This includes building the capacity of organizations that are engaged in these activities. USAID has a particular interest in supporting interventions that aim to benefit these communities, including female-headed households, victims of Gender-Based Violence, and youth.

1.3 Illustrative Tasks and Expected Results

This APS is designed to support the integration and participation of communities in the Northern and Eastern Provinces (and conflict affected border districts) to integrate into their local social, economic, cultural and governance systems. Though a variety of approaches may be used, such as those below, the objective of such approaches should be to support greater participation and capacity building, especially for these communities, in order to ensure better governance systems. This may include the following approaches:

- Strengthening citizen participation
- Improving relations between diverse communities
- Supporting rights awareness, legal remedies and citizen protections
- Supporting psychosocial programs
- Supporting livelihood programs
- Supporting equitable access to services and information
- Promoting inclusion and participation
- Addressing gender based violence
- Advancing the participation and empowerment of women and youth
- Building capacity of local media to support APS objectives
- Promoting principles of Co-operative movement
- Raising awareness and adherence to core-labor conventions
- Research and empirical studies that support APS objectives
- Strengthening policies and practices that support APS objectives

Additionally, the proposed activities should:

- Be designed to support broad development objectives that promote citizen participation and a *citizen-friendly* public administration in Sri Lanka.
- Take into account the long-term process of building amicable co-existence between diverse communities, a process which requires a diversity of approaches, including but not limited to community-level inter-ethnic strategies.
- Be implemented by organizations that have shown an ability to organize and empower communities for social and economic action and for supporting processes that enhance inclusion.
- Expand successful community level initiatives through networking and building alliances with like-minded organizations as well as public and private sector stakeholders.

OR

Extend national or regional level initiatives to grassroots communities by building partnerships between national or regional organizations and community-based groups to create broad-based constituencies for change.

- Ensure that citizens are empowered with knowledge and skills to work together to represent interests, and work in a mutually accountable manner with government institutions.
- Incorporate gender considerations to ensure that activities are equitable
- Take into consideration the sustainability of change brought about by the intervention

Applicants can propose initiatives that address any one of the above areas, or more than one area. Applicants are encouraged to network with like-minded organizations and engage government institutions where useful to increase their impact and widen their reach; and where applicable to leverage various media platforms, including mainstream, social, and alternative media, to amplify the

impact of their initiatives. Application should attempt to identify anticipated impact in terms of achieving changes in policies, practices, knowledge, attitudes and/or behaviors.

1.4 Gender and Diversity Considerations

All applications must demonstrate how gender considerations have been incorporated in the needs analysis, problem definition, design and implementation plan of the proposed intervention. Applicants are expected to ensure that the stakeholder consultations used to identify proposed interventions involve a broad cross-section of actors and reflect gender, age and where applicable ethnic/religious balance. The stakeholders consulted should represent a variety of political viewpoints and include both women and men in roughly equal numbers. They should have consulted and incorporated the perspectives of youth. Applicant must give an indicative number of people that the project seeks to benefit, disaggregated by gender.

Requirements for submitting applications under Stage 1 and Stage 2 of this two-stage APS, and information concerning the application, evaluation, and award decision are provided in Section 3 below.

2. ELIGIBILITY REQUIREMENTS

2.1. Eligible and Ineligible Entities

- a. Applicants must be organizations with a recent history of implementing activities in the regional focus areas of this APS including the Northern and Eastern provinces and its conflict-affected border areas. Applicants can be any organization with *legal personality* that is not a public sector or private sector institution. Such indigenous organizations may be registered under a variety of statutes, such as, not-for-profit companies, societies, cooperatives, independent trade unions under the Companies Act, professional associations, and community based organizations. They must also be responsible, law-abiding organizations with a record of business integrity. Grant funds awarded under this APS cannot be used towards any profit by the grantees.
- b. The following are not eligible for grant support: individuals and government entities; political parties or organizations; organizations that advocate, promote or espouse anti-democratic policies or illegal activities; faith-based organizations pursuing exclusive religious purposes or whose programs and services discriminate based on religion, and whose main objective of the grant is of a religious nature; and any entity whose name appears on the List of Parties Excluded from Federal Procurement and Non-Procurement Programs (<https://www.sam.gov>), Specially Designated Nationals List (<http://sdnsearch.ofac.treas.gov/Default.aspx>), the List established and maintained by the 1267 Committee with respect to individuals, groups, undertakings and other entities associated with Al-Qaida (http://www.un.org/sc/committees/1267/aq_sanctions_list.shtml).

2.2. Eligible and Ineligible Activities

- a. Activities that are eligible for funding include those that support APS objectives. Any purchases or activities that are not necessary to accomplish grant purposes are considered ineligible activities.
- b. Execution of grant-funded activities must take place in Sri Lanka and all costs must be reasonable, allocable, and allowable. Reasonable costs are those costs that are generally recognized as ordinary and necessary, and would be incurred by a prudent person in the conduct of normal business. Allocable costs are those costs specifically linked to the execution of the activity, such as project staff salaries, experts' fees, trainings, meetings and seminars, publications, purchase and rental of equipment, office expenses, in-country travel, and other direct costs. Allowable costs are those costs which conform to any limitations in the grant award.
- c. Specific cost items that are unallowable under a grant include: profit or fee; application preparation costs; international travel; payment of debts; political elections and related campaign

activities; fees for public and elected government officials; fines and penalties; creation of endowments; military equipment; surveillance equipment; commodities and services for support of police and other law enforcement activities; abortion equipment and services; luxury goods and gambling equipment; parties or “representation” expenses; purchases of restricted goods without prior USAID approval, such as agricultural commodities, motor vehicles, pharmaceuticals, pesticides, used equipment, and fertilizer.

3. APPLICATION PROCESS:

3.1 Two-Stage APS

Grants will be awarded through a two-stage process under this APS. Applicants must first submit a Concept Paper (Stage 1). Applicants with successful concept papers will then be invited to submit a full Grant Application (Stage 2).

Stage 1: Concept Paper Stage

For Stage 1, interested organizations are invited to submit a concept paper (Attachment A), along with an overall cost estimate. Applications will be reviewed on a rolling basis. All applications will be reviewed based on compliance with the APS requirements, technical merit of the program ideas, cost, and feasibility for participation in the second stage. Organizations should be able to document a recent history of implementing activities of similar size and scope to their application.

Stage 2: Full Grant Application Stage

Applicants successful in Stage 1 may be invited to submit a detailed grant application for potential grant award. The full grant application shall require the information listed in Attachment B, INSTRUCTIONS ON CONTENT AND FORMAT OF APPLICATION. Stage 2 is by invitation only.

3.2 Submission Requirements

- a. Concept papers must be completed in English, Sinhala or Tamil and submitted via e-mail to spiceaps@msi-sl.com in Word, Excel, and/or PDF attachments. E-mail submissions should not exceed 5 MB per e-mail.
- b. The subject line for submissions should be as follows: **APS No. 605100.05.01/02.913 APS, Concept Paper**. Applications should be valid for a minimum of 90 days from the submission date.
- c. All applications should be submitted to SPICE no later than **October 20th 2014 5:00 p.m. local Sri Lankan time**. Proposals received after this time may be rejected. It is the responsibility of the applicant to ensure that e-mail submissions are received by the due date and time.
- d. Any questions about this APS must be submitted in writing to spiceaps@msi-sl.com by **October 05th 2014 5:00 p.m. local Sri Lankan time** and should reference the APS number in the subject line. MSI will strive to provide within two weeks. The questions and responses will be posted at <https://www.dropbox.com/sh/jdp5kdpe70rqd5n/8QQvFwD7JG>. Phone calls regarding technical content will not be entertained.

3.3. Grant Award, Anticipated Grant Size and Duration

- a. Award amounts may range from approximately \$20,000 to \$75,000, for duration of up to eighteen months, provided that the end date of proposed projects does not exceed September 15, 2015. The number of awards depends on the number of applications selected at Stage 2 and the kinds of activities approved for grant funding.
- b. SPICE may reject any or all applications, accept more than one concept paper or full grant application, and waive minor informalities in applications received.

- c. All Fixed Obligation Grant awards will be administered in accordance with USAID and U.S. government regulations. Non-U.S. organizations, shall also comply with the "Mandatory Standard Provisions for Fixed Obligation Grants to Nongovernmental Organizations" and "Required, as applicable, Standard Provisions for Fixed Obligation Grants to Nongovernmental Recipients" available at <http://www.usaid.gov/policy/ads/300/303mat.pdf>.
- d. In an exceptional case that one or more Simplified Grants are issued, they shall also comply with the "Mandatory Standard Provisions for Non-U.S., Nongovernmental Recipients" and "Required, as applicable, Standard Provisions for Non-U.S. Nongovernmental Organizations" available at <http://transition.usaid.gov/policy/ads/300/303mab.pdf>

4. INITIAL REVIEW OF CONCEPT PAPERS AND PRE-QUALIFICATION DECISION

The SPICE program will convene an evaluation panel to review Stage 1 concept papers and make a pre-qualification decision based on the following criteria:

- Responsiveness to APS requirements, including compliance with eligibility criteria
- The extent to which they are consistent with the SPICE project purpose
- Technical merit of the concept paper:
 - a) Clear description of the problem, proposed solution, and anticipated impact
 - b) Strategic fit with the APS program objectives and the organization's own mandate, including non-partisan, non-confessional approach to civic engagement on priority themes targeted by the APS
 - c) Feasibility of the proposed technical approach with well-defined tasks and demonstrated capability to implement the approach

The pre-qualification decision will be made on a "pass/fail" basis. Best efforts will be made to notify applicants of the decision within 90 days of receiving their concept paper. Successful applicants will be asked to submit a full, detailed grant application (Stage 2).

CONCEPT PAPER

Sri Lanka Support for Professional and Institutional Capacity Enhancement Program (SPICE)

Integrating Communities Through Regional Grants for Active Citizenship, Social Cohesion and Gender Empowerment

Annual Program Statement No. 605100.05.01/02.913**1. BASIC INFORMATION ABOUT APPLICANT ORGANIZATION**

ORGANIZATION'S CONTACT DETAILS	
Name of organization:	
Year organization was founded:	
Year of registration and registration number:	
Government institution with which your organization is registered:	
Address of your organization:	
Phone numbers (land line and cellular):	
Website/Facebook/Twitter/Blog:	
Contact person's name and title/position:	<i>Person who will be the main point of contact with SPICE. This person must be able to authorize negotiations on behalf of the applicant and bind the recipient in connection with this application/grant.</i>
Contact person's e-mail:	
Contact person's cell phone:	
Board members (or founding members if the organization does not have a Board of Directors) and key staff (president, secretary general, general manager, directors, treasurer, etc):	<i>List all members of your Board and Executive Team, as well as key staff, or attach complete organizational chart in an annex with names</i>

2. TECHNICAL APPROACH

Please complete the following boxes:

PROJECT TITLE AND OBJECTIVES	
Project title (short, catchy title reflecting what your project is about):	
Specific objectives of the project (3-5 objectives reflecting the results/outcomes that will contribute to achieving the goal. Objectives should be "SMART": Specific, Measurable, Achievable, Reliable, and Time-bound):	<ol style="list-style-type: none"> 1. 2. 3. 4. 5.

EXPECTED PROJECT DURATION AND COST	
Overall length (in months):	
Start date (day, month, and year):	
End date (day, month, and year):	
Estimated Cost in US dollars	
Estimated Cost in Sri Lankan Rupees	

<i>Provide a problem statement that outlines the problem/challenge that your intervention seeks to address (1-2 paragraphs)</i>

<i>Provide a proposed solution to the problem/challenge identified above including primary activities (1-2 paragraphs)</i>

<i>Describe why your organization is qualified to implement the solution (1-2 paragraphs)</i>

GEOGRAPHIC AREAS TARGETED BY YOUR PROPOSED PROJECT		
District	Municipality	Divisional Secretariat
Add rows as needed		

TARGET BENEFICIARIES/PARTICIPANTS	
<i>Include both direct and indirect beneficiaries, disaggregated by gender and youth whenever applicable.</i>	
Direct Beneficiaries (type and number):	
Indirect Beneficiaries (type and number):	

GENDER and DIVERSITY CONSIDERATIONS
<i>Describe how the problem definition, design and implementation of the project incorporates gender and diversity considerations.</i>

3. ORGANIZATIONAL EXPERIENCE

<i>Below, list major activities (funded by donors or through your own funds) that your organization has managed in the last three years, focusing on activities similar to your proposed project. Include activities that you are currently managing or that you expect to manage over the duration of your proposed project. Be sure to include up-to-date contact information for donor representatives able to comment on your work.</i>	
Activity title:	
Start and end date:	
Location(s) of activity:	
Source of funds:	
Total funding (SL Rupees and US\$):	
Short summary, including results:	
Donor contact (name, title, phone number, and e-mail):	
Activity title:	
Start and end date:	
Location(s) of activity:	
Source of funds:	
Total funding (SL Rupees and US\$):	

Short summary, including results:	
Donor contact (name, title, phone number, and e-mail):	
Activity title:	
Start and end date:	
Location(s) of activity:	
Source of funds:	
Total funding (SL Rupees and US\$):	
Short summary, including results:	
Donor contact (name, title, phone number, and e-mail):	
Add rows as needed	

4. CONFLICT OF INTEREST STATEMENT

<i>If any member of your organization or project team has a relationship with any member of the SPICE evaluation committee or management, which you believe may constitute a conflict of interest*, check the appropriate box below, then provide the name(s) and state the reason for possible conflict of interest.</i>		
We the undersigned, certify that to the best of our knowledge, the applicant, its management, and staff to be used for the present project (check the appropriate box below):		
<input type="checkbox"/>	Have no conflict of interest or potential conflict of interest with SPICE, in the persons working for SPICE, or work for donors.	
<input type="checkbox"/>	Have a conflict of interest or potential conflict of interest with SPICE, with the persons stated below working for SPICE, or work for donors that fund the program.	
Name of Person	Position of the Person	Reason for Possible Conflict of Interest

*The term "conflict of interest" means that a personal, professional, family or financial/business relationship exists whereby the individual (including their family, friends, relatives or business associates) has any interest which may influence results or otherwise result in a biased evaluation of their application.

HOW DID YOU LEARN ABOUT THIS APS?

__Newspaper ad __E-mail announcement __Website (specify: _____)
 __Word of mouth

DECLARATION

I declare that the information given in this concept paper/application is a true reflection of the organization. The applicant represents that the following persons are authorized to negotiate on its behalf with MSI and to bind the recipient in connection with this application/grant.:

Name: _____

Title/Position: _____

Signature: _____

Date: _____

Instructions on Content and Format of Application

Applicants who are invited to participate in Stage 2 shall receive further instructions for submitting a detailed grant and cost application. The applicant's decision to submit a more detailed application is at the applicant's discretion, and any expenses associated with the preparation and submissions of an application are the responsibility of the applicant.

Grant Application. Technical applications should be specific, complete, and demonstrate the applicant's capabilities and expertise with respect to achieving activity objectives, applications should take into account the program requirements, any feedback from the evaluation panel and selection criteria found in this attachment. The full Grant Application shall not be dependent on reading of the prior concept paper. It shall include a clear description of the proposed intervention, a detailed implementation strategy and work plan, and information on the applicant's capacity to implement the intervention.

The Application will require the following documentation to be submitted:

- Signed cover letter, using a provided sample format;
- Completed Application form, using a provided template;
- Completed Work Plan chart, using a provided sample format;
- Completed M&E plan, using a provided sample format;
- CVs for key personnel, no longer than 3 pages each;
- Biodata, using a provided template;
- Acceptance of Notifications and Standard Provisions, and;
- Completed certifications regarding:
 - A Drug-Free Workplace
 - Debarment, Suspension, And Other Responsibility Matters
 - Debarment, Suspension, Ineligibility And Voluntary Exclusion
 - Terrorist Financing (Executive Order 13224)
 - "Transparency Act" Reporting & Certification

Cost Application. Applicants in Stage 2 will be required to submit a detailed budget and accompanying budget in an excel template (to be provided). Detailed budget notes should describe each proposed budget line item, including the basis for each cost, and provide a justification for why the line item is needed for successful implementation of the proposed project. All costs budgeted must be reasonable, allocable to the proposed project, and allowable. No profit or fee can be included in the budget and paid for with grant funds.

EVALUATION CRITERIA AND AWARD DECISION

Awards will be made to responsible and responsive applicants whose applications offer the greatest value to the SPICE program. Stage 2 applications will be evaluated and scored based on the following evaluation criteria:

Technical Approach (40 points)

- Understanding of Project Context and Scope of Work: demonstrated understanding of project objectives, SPICE goals, and challenges and opportunities in policy development.
- Implementation Plan: detailed, results-oriented implementation plan with realistic timeline, logical sequence of tasks, and well-defined results contributing to RFA objectives.
- Policy Brief Outline: clear description of the structure and format of the policy briefs, aimed at presenting a concise, attractive, and convincing explanation of policy options.
- Gender Considerations: clear approach to ensuring that stakeholder consultations include both women and men in roughly equal numbers.
- Performance Monitoring Plan: sound approach to monitoring and evaluation, with clear indicators and target results.

Proposed Personnel (20 points)

- Team Structure: qualified team offering the right mix of skills, with well-defined job descriptions/project responsibilities and clear reporting relationships.
- Personnel Qualifications: relevant prior experience and track record of proposed personnel on activities similar to this project, with detailed CVs provided for all key staff.

Past Performance (20 points)

- Past Performance References: demonstrated prior experience in successfully implementing similar activities, including descriptions of previous relevant projects and results achieved, and contact information for their funders.

Organizational Experience and Capability (20 points)

- Organizational Experience: description of the organization's history and technical capabilities.
- Financial Management Capacity: adequate accounting and financial management systems and demonstrated ability to properly manage and report on grant funds in accordance with donor regulations.

DETERMINATION OF RESPONSIBILITY AND RESPONSIVENESS

RESPONSIBILITY

To be considered for award, an organization must be financially and technically responsible. Applicants will be requested under Stage 2 to submit certain documentation to help determine their responsibility:

Organization's legal registration certificate, by-laws or charter, recent audited financial statements (if applicable), resumes/CVs of key management, performance references, signed certifications, completed Pre-Award Survey Questionnaire, and any manuals (accounting, personnel, property, etc.), examples of current and/or previous work, and client/donor lists.

RESPONSIVENESS

To be evaluated, an applicant must be responsive to the procedural requirements of this APS. An application that does not comply with the requirements may not be considered. Formal requirements to be responsive include:

- The application is submitted no later than the provided deadline.
- The application complies with the instructions in this APS.
- The period of project implementation complies with the terms listed in the APS description.
- The application is submitted electronically and contains electronic versions of all the necessary documents.
- All the sections are completed.
- The requested funding is within the range indicated in this APS.
- The application contains the contact information of the applicant.